

SUPPLIER QUALITY MANAGEMENT SYSTEM QUESTIONNAIRE



Company Name	
Street Address	
City, State, Zip code	
Phone Number	
Fax	
Company Website	
Email Address	

ORGANIZATION	NAME	PHONE NUMBER	EMAIL ADDRESS
President/CEO			
General Manager			
Engineering Manager			
Production Manager			
Quality Manager			
Sales Manager			

Year Company Established	
Year Publicly Held	
Year Privately Held	

Sales for Last 2 Years	Year: 20 __	Amount:	\$
	Year: 20 __	Amount:	\$

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FACILITIES:

of Employees

Manufacturing	Engineering	Quality	Inspection
Total Employees			
Plant Area- Sq. Ft.			

Business Percentage			
Military / Aerospace	Commercial	Medical	Other

Type of Business			
Distributor		Machine Shop	
Sheet Metal Fabrication		Molding (Plastic Rubber)	
Castings or Foundry		Special Process	

PRIMARY CUSTOMERS:

NAME	TYPE (MILITARY, COMMERCIAL, MEDICAL)	% OF BUSINESS

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CORPORATION CLASSIFICATION:

SMALL		VETERAN OWNED SMALL BUSINESS	
SMALL DISADVANTAGED		SERVICE DISABLED VETERAN OWNED SMALL BUSINESS	
WOMEN OWNED		NATIVE AMERICAN OWNED	
HUB ZONE SMALL BUSINESS CONCERN		RETURN WITH COPY OF CERTIFICATION FROM U.S. SMALL BUSINESS ADMINISTRATION	

QUALITY SYSTEM CERTIFIED TO:

Check all that apply

AS 9100		NADCAP / PRI		OTHER	
ISO 9001		ISO 14000			
Define OTHER					

STOP! Read the following carefully.

If you are CERTIFIED to either ISO9000 or AS9100,
YOU DO NOT HAVE TO COMPLETE THE FOLLOWING QUESTIONNAIRE,
Simply, attach a copy of your registration certificate and return it along with all previous pages of this questionnaire, a completed W-9 form, Request for Taxpayer Identification and Certification.

If you are not CERTIFIED to either of these specifications complete the questionnaire in its entirety and return it along with copies of your organization chart and top level quality manual, a completed W-9 form, Request for Taxpayer Identification and Certification.

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QUALITY MANAGEMENT SYSTEM QUESTIONNAIRE

	S/U	N/A	
Do you have plans to become AS9100 certified? < YES > < NO >			
If YES, when do you expect to be certified? DATE _____			
4.1 General requirements			
Where an organization chooses to outsource any process that affects product conformity with requirements, does the organization ensure control over such processes?			
4.2 Documentation requirements			
4.2.3 Control of documents			
Are the documents required by the quality management system controlled?			
4.3 Configuration management			
Has the organization established, documented and maintained a configuration management process appropriate to the product?			
MANAGEMENT RESPONSIBILITY			
5.1 Management commitment			
Has top management provided evidence of its commitment to the development and implementation of the quality management system and continually improving its effectiveness by: Guidance Notes - Evidence of Management Commitment.			
a) communicating to the organization the importance of meeting customer as well as statutory and regulatory requirements?			
b) establishing the quality policy?			
c) ensuring that quality objectives are established?			
d) conducting management reviews?			
e) ensuring the availability of resources?			
5.4 Planning			
5.4.1 Quality objectives			
Are the quality objectives measurable and consistent with the quality policy?			
5.5 Responsibility, authority and communication			
5.5.2 Management representative			
Has top management appointed a member of management who, irrespective of other responsibilities, has responsibility and authority that includes:			
a) ensuring that processes needed for the quality management system are established, implemented and maintained?			
b) reporting to top management on the performance of the quality management system and any need for improvement?			
c) ensuring the promotion of awareness of customer requirements throughout the organization?			
d) the organizational freedom to resolve matters pertaining to quality?			

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	S/U	N/A	
5.6 Management review			
5.6.2 Review input			
13 Does the input to management review include information on (*):			
a) results of audits?			
b) customer feedback?			
c) process performance and product conformity?			
d) status of preventive and corrective actions?			
e) follow-up actions from previous management reviews?			
f) changes that could affect the quality management system?			
g) recommendations for improvement?			
5.6.3 Review output			
Does the output from the management review include any decisions and actions related to (*):			
a) improvement of the effectiveness of the quality management system and its processes?			
b) improvement of product related to customer requirements?			
c) resource needs?			
Guidance Notes - (*) Verify the availability of input / output data (e.g. statistical data; graphics; summary tables; reports).			
6. RESOURCE MANAGEMENT			
6.2.2 Competence, awareness and training			
Does the organization:			
a) determine the necessary competence for personnel performing work affecting product quality?			
Guidance Notes - Review training records and plan (status of current year and of the previous year).			
b) provide training or take other actions to satisfy these needs?			
c) evaluate the effectiveness of the actions taken?			
d) ensure that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objectives?			
e) maintain appropriate records of education, training, skills and experience (see 4.2.4)?			
Guidance Notes - Review training certificates for the certified personnel and training records (internal and external training courses).			
6.4 Work environment			
Does the organization determine and manage the work environment needed to achieve conformity to product requirements?			
Note: Factors that may affect the conformity of the product include temperature, humidity, lighting, cleanliness, protection from electrostatic discharge, etc.			
7. PRODUCT REALIZATION			
7.1 Planning of product realization			

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	S/U	N/A	
In planning product realization, does the organization determine the following, as appropriate:			
a) quality objectives and requirements for the product?			
b) the need to establish processes, documents, and provide resources specific to the product?			
c) required verification, validation, monitoring, inspection and test activities specific to the product and the criteria for product acceptance?			
d) records needed to provide evidence that the realization processes and resulting product meet requirements (see 4.2.4)?			
e) the identification of resources to support operation and maintenance of the product?			
7.2 Customer-related processes			
7.2.1 Determination of requirements related to the product			
Does the organization determine:			
a) requirements specified by the customer, including the requirements for delivery and post-delivery activities?			
b) requirements not stated by the customer but necessary for specified or intended use, where known?			
c) statutory and regulatory requirements related to the product?			
d) any additional requirements determined by the organization?			
7.2.2 Review of requirements related to the product			
Is the review conducted prior to the organization's commitment to supply a product to the customer (e.g., submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and does it ensure that:			
Guidance Notes - Check that all affected functions are involved in the review.			
a) product requirements are defined?			
b) contract or order requirements differing from those previously expressed are resolved?			
c) the organization has the ability to meet the defined requirements?			
d) risks (e.g., new technology, short delivery time scale) have been evaluated?			
Where product requirements are changed, does the organization ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements?			

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	S/U	N/A	
7.3 Design and development			
7.3.1 Design and development planning			
During the design and development planning, does the organization determine:			
a) the design and development stages? -in respect of organization, task sequence, mandatory steps, significant stages and method of configuration control, Guidance Notes - Give at least an example of a completed design and development plan, or an example of one in progress that identifies the planning of tasks and key events.			
b) the review, verification and validation that are appropriate to each design and development stage?			
c) the responsibilities and authorities for design and development?			
Are the different design and development tasks to be carried out defined according to specified safety or functional objectives of the product in accordance with customer and/or regulatory authority requirements? Guidance Notes - Give an example			
7.3.2 Design and development inputs			
Are inputs relating to product requirements determined and are records maintained (see 4.2.4)? Guidance Notes - Review applicable input data (give examples) Do these inputs include:			
a) functional and performance requirements?			
b) applicable statutory and regulatory requirements?			
c) where applicable, information derived from previous similar designs?			
d) other requirements essential for design and development?			
7.3.3 Design and development outputs			
Do the design and development outputs:			
a) meet the input requirements for design and development?			
b) provide appropriate information for purchasing, production and for service provision?			
c) contain or reference product acceptance criteria?			
d) specify the characteristics of the product that are essential for its safe and proper use?			
e) identify key characteristics, when applicable, in accordance with design or contract requirements?			
Is all pertinent data required to allow the product to be identified, manufactured, inspected, used and maintained defined by the organization; for example: -drawings, part lists, specifications?			
-a listing of those drawings, part lists, and specifications necessary to define the configuration and the design features of the product?			
-information on material, processes, type of manufacturing and assembly of the product necessary to ensure the conformity of the product?			
7.3.4 Design and development review			

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	S/U	N/A	
At suitable stages, are systematic reviews of design and development performed in accordance with planned arrangements (see 7.3.1) to:			
Guidance Notes - Give evidence of reviews.			
a) evaluate the ability of the results of design and development to meet requirements?			
b) identify any problems and propose necessary actions?			
c) authorize progression to the next stage?			
7.3.6 Design and development validation			
Is design and development validation performed in accordance with planned arrangements (see 7.3.1) to ensure that the resulting product is capable of meeting the requirements for the specified application or intended use, where known?			
7.3.6.1 Documentation of design and/or development verification and validation			
At the completion of design and/or development, does the organization ensure that reports, calculations, test results, etc., demonstrate that the product definition meets the specification requirements for all identified operational conditions?			
7.3.6.2 Design and/or development verification and validation testing			
Where tests are necessary for verification and validation, are these tests planned, controlled, reviewed, and documented to ensure and prove the following:			
Guidance Notes - Give an example of any reports, plans, or procedures reviewed.			
a) test plans or specifications identify the product being tested and the resources being used, define test objectives and conditions, parameters to be recorded, and relevant acceptance criteria?			
b) test procedures describe the method of operation, the performance of the test, and the recording of the results?			
c) the correct configuration standard of the product is submitted for the test?			
d) the requirements of the test plan and the test procedures are observed?			
e) the acceptance criteria are met?			
7.3.7 Control of design and development changes			
Are the changes reviewed, verified and validated, as appropriate, and approved before implementation?			
Guidance Notes - Give an example.			
Does the review of design and development changes include evaluation of the effect of the changes on constituent parts and product already delivered?			

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	S/U	N/A	
7.4 Purchasing			
7.4.1 Purchasing process			
Does the organization ensure that purchased product conforms to specified purchase requirements?			
Does the organization:			
a) maintain a register of approved suppliers that includes the scope of the approval? (1) Guidance Notes - Review current register of approved suppliers.			
b) periodically review supplier performance and use the records of these reviews as a basis for establishing the level of controls to be implemented? Guidance Notes - Review supplier's performance / measurement system (e.g., supplier rating).			
c) define the necessary actions to take when dealing with suppliers that do not meet requirements?			
d) ensure where required that both the organization and all suppliers use customer-approved special process sources?			
e) ensure that the function having responsibility for approving supplier quality systems has the authority to disapprove the use of sources?			
7.4.2 Purchasing information			
Does purchasing information describe the product to be purchased, including where Appropriate: Guidance Notes - Examine purchase orders that apply to several types of procurement.			
a) requirements for approval of product, procedures, processes and equipment?			
b) requirements for qualification of personnel?			
c) quality management system requirements?			
d) the name or other positive identification, and applicable issues of specifications, drawings, process requirements, inspection instructions and other relevant technical data?			
e) requirements for design, test, examination, inspection and related instructions for acceptance by the organization?			
f) requirements for test specimens (e.g., production method, number, storage conditions) for design approval, inspection, investigation or auditing?			
g) requirements relative to: - supplier notification to organization of nonconforming product? and - arrangements for organization approval of supplier nonconforming material?			
h) requirements for the supplier to notify the organization of changes in product and/or process definition and, where required, obtain organization approval?			
i) right of access by the organization, their customer, and authorities to all facilities involved in the order and to all applicable records?			
j) requirements for the supplier to flow down to sub-tier suppliers the applicable requirements in the purchasing documents, including key characteristics where required?			

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	S/U	N/A	
7.4.3 Verification of purchased product			
Does the organization establish and implement the inspection or other activities necessary for ensuring that purchased product meets specified purchase requirements, they may include obtaining objective evidence of the quality of the product from suppliers (e.g., accompanying documentation, certificate of conformity, test reports, statistical records, process control), inspection and audit at supplier's premises, review of the required documentation, inspection of products upon receipt, and, delegation of verification to the supplier, or supplier certification?			
7.5 Production and service provision			
7.5.1 Control of production and service provision			
Does planning consider, as applicable: -the establishment of process controls and development of control plans where key characteristics have been identified? -the identification of in-process verification points when adequate verification of conformance cannot be performed at a later stage of realization? -the design, manufacture, and use of tooling so that variable measurements can be taken, particularly for key characteristics? -special processes (see 7.5.2)?			
Does the organization plan and carry out production and service provision under controlled conditions. Guidance Notes - List the part number(s) used for this review.			
Do these controlled conditions include, as applicable:			
a) the availability of information that describes the characteristics of the product?			
b) the availability of work instructions, as necessary?			
c) the use of suitable equipment?			
d) the availability and use of monitoring and measuring devices?			
e) the implementation of monitoring and measurement?			
f) the implementation of release, delivery and post-delivery activities?			
g) accountability for all product during manufacture (e.g., parts quantities, split orders, nonconforming product)?			
h) evidence that all manufacturing and inspection operations have been completed as planned, or as otherwise documented and authorized?			
i) provision for the prevention, detection, and removal of foreign objects?			
j) monitoring and control of utilities and supplies such as water, compressed air, electricity and chemical products to the extent they affect product quality?			
k) criteria for workmanship, which shall be stipulated in the clearest practical manner (e.g., written standards, representative samples or illustrations)?			

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	S/U	N/A	
7.5.1.1 Production documentation			
Does the data contain as necessary:			
a) drawings, parts lists, process flow charts including inspection operations, production documents (e.g., manufacturing plans, traveler, router, work order, process cards); and inspection documents (see 8.2.4.1)?			
b) a list of specific or non-specific tools and numerical control (NC) machine programs required and any specific instructions associated with their use?			
7.5.1.2 Control of production process changes			
Are persons authorized to approve changes to production processes identified?			
Guidance Notes - Clearly defined list of persons or authorization established in procedures.			
Are changes affecting processes, production equipment, tools and programs documented?			
Are the results of changes to production processes assessed to confirm that the desired effect has been achieved without adverse effects to product quality?			
7.5.1.3 Control of production equipment, tools and numerical control (N.C.) machine programs			
Are production equipment, tools and programs validated prior to use and maintained and inspected periodically according to documented procedures?			
Does validation prior to production use include verification of the first article produced to the design data/specification?			
7.5.1.4 Control of work transferred, on a temporary basis, outside the organization's facilities			
When planning to temporarily transfer work to a location outside the organization's facilities, does the organization define the process to control and validate the quality of the work?			
7.5.2 Validation of processes for production and service provision			
Does the organization validate any processes for production and service provision where the resulting output cannot be verified by subsequent monitoring or measurement, including any processes where deficiencies become apparent only after the product is in use or the service has been delivered?			
Note: These processes are frequently referred to as special processes.			
Has the organization established arrangements for these processes including, as applicable:			
a) defined criteria for review and approval of the processes? -qualification and approval of special processes prior to use?			
b) approval of equipment and qualification of personnel?			
c) use of specific methods and procedures? -control of the significant operations and parameters of special processes in accordance with documented process specifications and changes thereto?			
Guidance Notes - Give examples.			
d) requirements for records (see 4.2.4)?			
e) and revalidation?			
7.5.3 Identification and traceability			

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	S/U	N/A	
Does the organization maintain the identification of the configuration of the product in order to identify any differences between the actual configuration and the agreed configuration?			
According to the level of traceability required by contract, regulatory, or other established requirement, does the organization's system provide for: Guidance Notes - Give examples of traceability level applied (up and down).			
a) identification to be maintained throughout the product life?			
b) all the products manufactured from the same batch of raw material or from the same manufacturing batch to be traced, as well as the destination (delivery, scrap) of all products of the same batch?			
c) in any assembly, the identity of its components and those of the next higher assembly to be traced?			
d) in any given product, a sequential record of its production (manufacture, assembly, inspection) to be retrieved? Note: In some industry sectors, configuration management is a means by which identification and traceability is maintained (see 4.3).			
7.5.5 Preservation of product			
Does preservation of product also include, where applicable in accordance with product specifications and/or regulations, provisions for:			
a) cleaning?			
b) prevention, detection and removal of foreign objects?			
c) special handling for sensitive products?			
d) marking and labeling including safety warnings?			
e) shelf life control and stock rotation?			
f) special handling for hazardous materials?			
Does the organization ensure that documents required by the contract/order to accompany the product are present at delivery and are protected against loss and deterioration?			
Does the organization determine the monitoring and measurement to be undertaken and the monitoring and measuring devices needed to provide evidence of conformity of product to determined requirements (see 7.2.1)? Guidance Notes - Review that the organization has a process for ensuring the capability of measurement system (e.g., Interval Analysis, Resolution Analysis, Gage Repeatable & Reproducibility, etc.).			
Does the organization maintain a register of these monitoring and measuring devices, and define the process employed for their calibration including details of equipment type, unique identification, location, frequency of checks, check method and acceptance criteria?.			
Note: Monitoring and measuring devices include, but are not limited to: test hardware, test software, automated test equipment (ATE) and plotters used to produce inspection data. It also includes personally owned and customer supplied equipment used to provide evidence of product conformity.			
Does the organization take appropriate action on the equipment and any product affected?			

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	S/U	N/A	
When used in the monitoring and measurement of specified requirements, is the ability of computer software to satisfy the intended application confirmed?			
Note: See ISO 10012 for guidance.			
8 MEASUREMENT, ANALYSIS AND IMPROVEMENT			
8.1 General			
Does the organization plan and implement the monitoring, measurement, analysis and improvement processes needed:			
Guidance Notes - Give examples of data.			
a) to demonstrate conformity of the product?			
b) to ensure conformity of the quality management system?			
c) to continually improve the effectiveness of the quality management system?			
Note: According to the nature of the product and depending on the specified requirements, statistical techniques may be used to support: -design verification (e.g., reliability, maintainability, safety) ; -process control: -selection and inspection of key characteristics -process capability measurements; -statistical process control; -design of experiment; -inspection – matching sampling rate to the criticality of the product and to the process capability; -failure mode and effect analysis.			
8.2.2 Internal audit			
Does the organization conduct internal audits at planned intervals to determine whether the quality management system:			
Guidance Notes - Review of audit program (status of the previous year and progress of the current year).			
a) conforms to the planned arrangements (see 7.1), to the requirements of this International Standard and to the quality management system requirements established by the organization?			
b) is effectively implemented and maintained?			
Does the management responsible for the areas being audited ensure that actions are taken without undue delay to eliminate detected nonconformities and their causes?			
Note: See ISO 19011 for guidance.			

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	S/U	N/A	
8.2.3 Monitoring and measurement of processes			
In the event of process nonconformity, does the organization: Guidance Notes - Give examples of nonconformities reviewed (process nonconformity, any resulting product nonconformity).			
a) take appropriate action to correct the nonconforming process?			
b) evaluate whether the process nonconformity has resulted in product nonconformity?			
c) identify and control the nonconforming product in accordance with clause 8.3?			
8.2.4 Monitoring and measurement of product			
Does the organization monitor and measure the characteristics of the product to verify that product requirements have been met?			
When key characteristics have been identified, are they monitored and controlled?			
Is product held until it has been inspected or otherwise verified as conforming to specified requirements, except when product is released under positive-recall procedures pending completion of all required measurement and monitoring activities?			
8.2.4.1 Inspection documentation			
Does this documentation, which may be part of the production documentation, include:			
a) criteria for acceptance and/or rejection?			
b) where in the sequence measurement and testing operations are performed?			
c) a record of the measurement results?			
d) type of measurement instruments required and any specific instructions associated with their use?			
8.2.4.2 First article inspection			
Does the organization's system provide a process for the inspection, verification, and documentation of a representative item from the first production run of a new part, or following any subsequent change that invalidates the previous first article inspection result? Guidance Notes Give examples of first article (new product and/or changed product).			
Note: See (AS) (EN) (SJAC) 9102 for guidance.			

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	S/U	N/A	
8.3 Control of nonconforming product			
Does the organization ensure that product which does not conform to requirements is identified and controlled to prevent its unintended use or delivery? Note: The term "nonconforming product" includes nonconforming product returned from a customer.			
Does the organization deal with nonconforming product in one or more of the following ways by:			
a) taking action to eliminate the detected nonconformity?			
b) authorizing its use, release or acceptance under concession by a relevant authority and, where applicable, by the customer?			
c) taking action to preclude its original intended use or application?			
Is product dispositioned for scrap conspicuously and permanently marked, or positively controlled, until physically rendered unusable?			
When nonconforming product is detected after delivery or use has started, does the organization take action appropriate to the effects, or potential effects, of the nonconformity?			
In addition to any contract or regulatory authority reporting requirements, does the organization's system provide for timely reporting of delivered nonconforming product that may affect reliability or safety? Note: Parties requiring notification of nonconforming product may include suppliers, internal organizations, customers, distributors, and regulatory authorities.			
8.4 Analysis of data			
Does the organization determine, collect and analyze appropriate data to demonstrate the suitability and effectiveness of the quality management system and to evaluate where continual improvement of the effectiveness of the quality management system can be made?			
Guidance Notes (1) Give examples and check how the organization measures the effectiveness.			
8.5 Improvement			
8.5.1 Continual improvement			
Does the organization continually improve the effectiveness of the quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review?			

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	S/U	N/A	
8.5.2 Corrective action			
Does the organization take action to eliminate the cause of nonconformities in order to prevent recurrence? Guidance Notes - Select a nonconforming part and use 52 a) through h) to check for effectiveness.			
Is a documented procedure established to define requirements for:			
a) reviewing nonconformities (including customer complaints)?			
b) determining the causes of nonconformities?			
c) evaluating the need for action to ensure that nonconformities do not recur?			
d) determining and implementing action needed?			
e) recording of the results of the action taken (see 4.2.4)?			
f) reviewing corrective action taken?			
g) flow down of the corrective action requirement to a supplier, when it is determined that the supplier is responsible for the root cause?			
h) specific actions where timely and/or effective corrective actions are not achieved?			
8.5.3 Preventive action			
Does the organization determine action to eliminate the causes of potential nonconformities in order to prevent their occurrence? Guidance Notes - Give examples of preventive action projects and check for effectiveness.			